



DEPARTMENT OF THE NAVY  
HEADQUARTERS UNITED STATES MARINE CORPS  
WASHINGTON, DC 20380-0001

MCO 5214.2D  
ARDB  
9 Apr 90

MARINE CORPS ORDER 5214.2D

From: Commandant of the Marine Corps  
To: Distribution List

Subj: MARINE CORPS INFORMATION REQUIREMENTS (REPORTS)  
MANAGEMENT PROGRAM

Ref: (a) Federal Information Resources Management  
Regulation, Sec. 201-45 (NOTAL)  
(b) The Paperwork Reduction Act of 1980, Public Law  
96-511 (NOTAL)  
(c) SECNAVINST 5214.2B

Encl: (1) Definitions  
(2) Guide for Establishing an Information Requirements  
(Reports) Management Program and Documentation  
Procedures Required of Report Sponsors  
(3) Guide to Estimating Reporting Costs

Reports Required: I. Periodic Review of Approved Reports  
(Report Control Symbol DN-5214-01),  
par. 7a(7)  
II. Reports Control Coding Sheet (Report  
Control Symbol MC-5214-02), par. 7b(3)  
III. Summary of Estimates of Reporting  
Costs (Report Control Symbol EXEMPT),  
par. 7b(3)

1. Purpose. To implement policy, assign responsibilities, and set forth guidance for the management and control of information requirements in the Marine Corps. To provide instructions for report sponsors on developing the necessary documentation to obtain approval for establishment, revision, or cancellation of information requirements in the Marine Corps.

2. Cancellation. MCO 5214.2C and HQO 5214.2C.

3. Information

a. Reference (a) identifies reports management as an element of the Records Management Program and requires each Federal agency to establish and maintain a continuing and systematic appraisal of reports.

b. Reference (b) sets forth policy to reduce paperwork and to enhance the economy and efficiency of the Government and the private sector by improving Federal information policymaking.

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c. Reference (c) establishes the Secretary of the Navy's policy for reports management, assigns responsibility, and provides guidance and procedures for implementing reports management programs in the Department of the Navy.

d. Enclosure (1) provides definitions of terms used throughout this Order.

e. Enclosure (2) gives a recommended approach for commands to follow in establishing an effective Information Requirements (Reports) Management Program. Enclosure (2) also provides instructions for report sponsors to accomplish prior to approval of information requirements.

f. Enclosure (3) provides guidance for computing the estimated annual cost of information requirements. Cost analysis is a necessary part of the licensing procedures. It should be noted that the majority of cost associated with the production and use of a requirement is man-hours expended. The Table of Average Hourly Rates Used in Computing Personnel Costs, Marine Corps Bulletin 5214 series, is provided and updated annually or as often as military and civilian pay rates change.

4. Summary of Revision. This Order has been substantially revised and should be read in its entirety. This revision provides detailed procedures and guidance for reports managers and report sponsors on the management, administrative control, and establishment of information requirements.

5. Policy. It is the policy of the Commandant of the Marine Corps that:

a. The reporting burden on the operating forces and field activities be minimized through eliminating or reducing the frequency of reporting requirements, simplifying report submission, or canceling information reporting requirements that are no longer needed.

b. Major Marine Corps field activities and HQMC staff agencies institute a reports management program that establishes a continuing and critical review of reporting requirements.

c. Managers at all levels limit levying reporting requirements to information essential to mission accomplishment.

d. Reporting requirements be challenged if considered unnecessary or duplicative of existing reports.

e. Licensing of a reporting requirement be indicated by either assigning a report control symbol (RCS) or citing the authority which exempts the report from symbolization.

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f. Reporting requirements be initially authorized for no longer than 3 years from the date of the implementing directive.

g. Major FMF commands are afforded an opportunity to comment on proposed reporting requirements imposed on the operating forces.

h. Marine Corps field activities and HQMC staff agencies are not required to respond to unlicensed or expired reports.

6. Objectives. The overall goal of the Marine Corps Information Requirements (Reports) Management Program is to ensure that management control and decision-making needs are met and that the information requirements imposed are fulfilled in an effective, efficient, and economical manner. Specific objectives are to:

a. Identify the information needs of managers at every organizational level.

b. Collect, transmit, process, and store information through the most economical and efficient use of personnel, funds, and equipment.

c. Eliminate reports which are duplicative or not cost-effective through control, standardization, and consolidation.

d. Ensure that reports are not imposed unless the expected value of the information is worth the imposition of the burden.

e. Coordinate reports management with related information resources management programs (forms, records, privacy, and information systems).

f. Encourage the practice of requesting only information that is not available from other sources.

g. Subject reports and reporting systems to a continuous, objective review for quality and economy of reporting.

## 7. Responsibilities

a. The CMC (ARDB) is the focal point for all matters relating to the management and control of the Marine Corps Information Requirements (Reports) Management Program and as such will:

(1) Develop and prepare changes to policy to ensure the effective management and control of reporting requirements.

(2) Direct, coordinate, or conduct selective reviews of Marine Corps-wide reports and reports management programs at least every 2 years.

(3) Provide guidance and technical assistance to reports managers and report sponsors on all matters concerning the reports program.

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(4) Prepare the Information Collection Budget (ICB) for public reports, and forward requests for new or extended requirements through the Navy Records Management Office (NRMO) to the Office of Management and Budget (OMB).

(5) Analyze and approve new and revised reports levied on the field activities by HQMC, Marine Corps Combat Development Command (MCCDC), and Marine Corps Research, Development, and Acquisition Command (MCRDAC). Assure approved reports are explained in the Marine Corps Directives System.

(6) Assign RCS's for those reports levied on the field activities by HQMC, MCCDC, and MCRDAC.

(7) Annually conduct a review and validation of reporting requirements levied on the field activities. RCS DN-5214-01 is assigned to this reporting requirement.

(8) Publish an annual Marine Corps bulletin listing the valid and canceled reports.

(9) Maintain a current reports inventory and documentation file.

b. HQMC, MCCDC, and MCRDAC report sponsors will:

(1) Levy reporting requirements on the field activities in support of the policy and objectives outlined in this Order.

(2) Support each recurring reporting requirement by a Marine Corps directive containing instructions for preparation and submission.

(3) Forward requests for initiating new or revised reporting requirements to the CMC (ARDB) on a Reports Control Coding Sheet, NAVMC HQ 584 (RCS MC-5214-02) and a Summary of Estimates for Reporting Costs, NAVMC HQ 732 (Report Control Symbol EXEMPT) along with associated documents, such as the requiring directive, additional forms, and copy of proposed report for review and approval. Obtain copies of the NAVMC HQ forms from the CMC (ARDB).

(4) Refer to the CMC (ARDB) any reporting requirement levied upon HQMC by higher authority or by an activity external to the Marine Corps (whether or not such reporting requirements require implementation within the Marine Corps Directives System) for the purpose of reports management review and inclusion in the Marine Corps reports management inventory.

(5) Ensure the Commanding Generals of Fleet Marine Force, Atlantic and Pacific have an opportunity to comment on proposed recurring reporting requirements levied on the operating forces.

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c. Marine Corps commanders are responsible for the establishment and execution of a reports management program within their respective commands, and as such will:

(1) Establish a reports management program in support of the objectives outlined in this Order.

(2) Designate a reports manager to administer the reports management program.

(3) Upon receipt of any HQMC, MCCDC, or ,MCRDAC reporting requirement which is not identified by an RCS (unless specifically exempt from reports control under the provisions of this Order), challenge that requirement by promptly calling the situation to the attention of the requiring office, with a copy to the CMC (ARDB).

(4) Submit recommendations for improvement in the Marine Corps Information Requirements (Reports) Management Program to the CMC (ARDB).

8. Action

a. Report sponsors adhere to the policy and responsibilities outlined in this Order when levying reporting requirements on the field activities.

b. Marine Corps commanders use this Order, applying the objectives in paragraph 6 and the guidance in enclosure (2), to establish and maintain effective local information requirements (reports) management programs.

9. Records Disposition. Reports program managers destroy the historical files 2 years after the report is superseded, canceled, or discontinued; report sponsors destroy the functional file 6 months after cancellation. Destroy all other report files immediately upon cancellation of the report.

10. Reserve Applicability. This Order is applicable to the Marine Corps Reserve.

  
LEO J. KELLY  
By direction

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## DEFINITIONS

1. AS REQUIRED REPORT. Information collected, stored, retrieved, and submitted when requested.
2. BURDEN HOURS. See Public Burden.
3. COLLECTION OF INFORMATION. Obtaining or soliciting facts or opinions by written report forms, application forms, schedules, questionnaires, reporting or recordkeeping requirements, or other similar methods. Similar methods may include contracts, agreements, policy statements, plans, rules or regulations, planning requirements, directives, requests for proposal or other procurement requirements, interview guides, disclosure requirements, labeling requirements, telegraphic or telephonic requests, and standard questionnaires used to monitor compliance with command requirements.
4. CONTROLLED REPORT. A report that has undergone a review and approval process and that has been assigned an RCS.
5. COST. The expenditure of man-hours, materials, equipment, and other resources used in reporting. Includes developmental, operational, and user costs.
6. COST/BENEFIT ANALYSIS. A process for determining reporting costs and benefits which can be expressed either quantitatively (in dollars) or qualitatively (in terms of effectiveness).
7. COST, DIRECT. Any cost that is specifically linked to the production, processing, maintenance, and use of a particular report.
8. COST, INDIRECT. Any cost incurred for joint operations that cannot be identified with a single report. Includes overhead and other fixed costs of resources.
9. DATA. A representation of facts, concepts, or instructions in a formalized manner suitable for communication, interpretation, or processing by human or automatic means.
10. DOCUMENTATION. The documents or records containing information on the organization, functions, policies, decisions, procedures, and essential transactions of the command's reports management activities.
11. EXEMPT REPORT. Report that is not subject to documentation and symbolization procedures.
12. EXTERNAL REPORT. Any report that is required by an agency or organization other than the responding agency and that is outside the control of the responding agency (congressional,

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judicial, executive, OMB, private sector, state or local governments).

13. FEEDER REPORT. A report that provides part or all of the data needed to prepare another report.

14. GENERAL PURPOSE STATISTICS. Statistics collected chiefly for public and general Government use, without primary reference to policy or program operations of the agency collecting the information.

15. INFORMATION COLLECTION REQUEST. A written report, application, schedule, questionnaire, reporting or recordkeeping requirement, or other similar method calling for the collection of information.

16. INFORMATION REQUIREMENT. The functional area expression of need for data or information to carry out specified and authorized functions or management purposes that require the establishment or maintenance of forms or formats, or reporting or recordkeeping systems, whether manual or automated.

17. INTERAGENCY REPORT. Any report required by one agency from one or more other Federal agencies.

18. INTERNAL REPORT. Any report required, prepared, and used within one organizational structure for its own use.

19. LICENSED REPORT. A report that has been justified by the originator, reviewed and approved by a reports control manager, and assigned an RCS or an exemption authority.

20. ONE-TIME (OT) REPORT. A report prepared only once. An OT report will be assigned an RCS SSIC code using "OT" as a suffix.

21. OPERATING DOCUMENT. A completed form or other document used to facilitate, accomplish, or provide a description or record of a transaction, function, or event. The information in an operating document may provide data (or input) for a report, but that is not its primary purpose. Examples are application forms, purchase orders, bills of lading, personnel actions, payrolls and timesheets, and inspection or audit reports.

22. PREPARING ACTIVITY. The activity or organization that compiles, processes, reproduces, and submits all or part of the required report data, or any summary or extract of that information.

23. PROGRAM EVALUATION. An appraisal of the efficiency and effectiveness of the reports management program. Aims at

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improvement through comparison of existing practices with alternative methods and techniques. Results in an evaluation report that includes findings, recommendations, and an action plan for correcting deficient areas.

24. PUBLIC BURDEN. The total time, effort, or financial resources required to respond to a collection of information, including to read or hear instructions; to develop, modify, construct, or assemble any materials or equipment; to conduct tests, inspections, polls, observations, or the like necessary to obtain the information; to organize the information into the requested format; to review its accuracy and the appropriateness of its manner of presentation; and to maintain, disclose, or report the information.

25. PUBLIC INFORMATION COLLECTION REPORT. A report which requires responses from members of the public. Members of the public are individuals, households, private firms, companies, contractors, organized groups of individuals, and states, territories, or local governments and their components.

26. RECURRING OR PERIODIC REPORT. A report that provides essentially the same type of information at prescribed regular intervals (daily, weekly, monthly, annually, etc.).

27. REPORT. Data or specific information transmitted for use in determining policy; planning, controlling and evaluating operations and performance; making administrative determination; or preparing other reports. The data or information may be in narrative, statistical, graphics, or other form and may be displayed on paper, magnetic tape, or other media.

28. REPORTS ANALYSIS. A management technique that determines the essentiality and effectiveness of a report and that is based on all reports evaluation factors.

29. REPORT CONTROL SYMBOL (RCS). An organizational abbreviation combined with an SSIC (SECNAVINST 5210.11C) and a numeric suffix which indicates that the report has been reviewed and approved by a reports control office.

30. REPORTS CONTROL SYSTEM. An administrative system for maintaining surveillance over the initiation, revision, and discontinuance of reports.

31. REPORTS MANAGEMENT. The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved in the creation, processing, and use of reports.

32. REPORTS MANAGEMENT OFFICE. An organizational unit that has been officially assigned the responsibility for reports management.

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33. REPORTS MANAGEMENT PROGRAM. A formally established activity function authorized and designed to fulfill reports management objectives.

34. REPORTS PROGRAM MANAGER. An individual assigned the responsibility for reports management at the local level. The manager also maintains liaison with the Marine Corps Reports Program Manager.

35. REQUIRING ACTIVITY (OR ORGANIZATION). The activity or organization that imposes a report or an information requirement.

36. RESPONDING ACTIVITY. An activity or organization required to respond to a report or an information requirement.

37. REVISED REPORT. An established report that is changed in anyway; such as format, content, definition, instruction, reporting procedures, preparing organization, frequency, scheduling, or routing. Revised reports must be cleared by the reports manager and a change/revision must be issued to the directive that established the report or information requirements.

38. SURVEY OR PERSONAL SURVEY. An organized effort to obtain information from persons about themselves, their attitudes, perceptions, beliefs, opinions, or interests where the acquisition of such information is not a normal administrative requirement internal to the command. A survey must be licensed.

39. UNAUTHORIZED/UNLICENSED REPORT. A report that has not been reviewed and approved by a reports management office and has not been assigned an RCS.

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GUIDE FOR ESTABLISHING AN INFORMATION REQUIREMENTS  
(REPORTS) MANAGEMENT PROGRAM AND DOCUMENTATION  
PROCEDURES REQUIRED OF REPORT SPONSORS

1. Purpose

a. To provide guidelines on a recommended approach for local reports managers to follow for implementing an effective Information Requirements (Reports) Management Program.

b. To provide report sponsors procedures to follow in developing the necessary documentation to obtain approval for establishing, revising, or canceling information requirements.

2. Reports Management. Reports management is needed to ensure reports and reporting systems provide necessary information effectively, efficiently, and economically. Specific types of data are needed to meet particular requirements. Reports are the major means for providing this data. Reports management encompasses the development of reports and reporting systems. As conditions or needs change, reports management must provide the control of reporting requirements to ensure minimum burden is expended and maximum effectiveness obtained.

3. Reports Management Functions

a. General. Line managers need information on how resources are being used and whether their goals and objectives are met. Reports management improves the quality and economy of reporting by providing managers with information at the right time, in the best format, and at the lowest possible cost. It also prevents the development of invalid, inefficient, or unnecessary reports.

b. Scope. The appendixes of this enclosure will cover the following basic functions of reports management:

(1) Appendix A, Reports Inventory. This function identifies and compiles a record of existing reports.

(2) Appendix B, Reports Analysis and Design. The reports analysis function identifies management information needed for controlling and evaluating activities and programs. The reports design function consists of designing reporting systems after needed information is identified and of ensuring their installation.

(3) Appendix C, Reports Control. This function includes the necessary procedures to review, develop, revise, and cancel information reporting requirements.

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(4) Appendix D, Reports Validation. This function involves the annual review of information reporting requirements to reduce the administrative burden by eliminating, reducing the frequency of, or consolidating reporting requirements when practicable.

(5) Appendix E, Public and Interagency Reporting. Special Government-wide clearance is required for interagency and public reports. Public reports require approval by the Office of Management and Budget (OMB), and interagency reports require approval by the General Services Administration (GSA).

#### 4. Program Development

a. Publication of a local directive and designation of a reports manager should be the first steps in implementing the program. The directive should make provisions for:

(1) Collection of information needed to establish a reports inventory.

(2) Reviewing and licensing of new information requirements.

(3) Assignment of RCS's per SECNAVINST 5210.11.

(4) Annual review of information requirements.

(5) Status of electronically transmitted information requirements when MINIMIZE is imposed.

b. The following considerations can be helpful in planning and preparing the directive:

(1) Use of a standardized form for the initial collection of inventory information. During this phase of the procedure at HQMC, use of a form was found to be both timesaving for functional area sponsors providing the information, and of great assistance in having data in an easily usable form for preparing the inventory. See appendix A.

(2) Use of RCS's to indicate multiple items of information. The RCS is a three-part alphanumeric code which indicates the requiring organization, applicable SSIC, and sequence number of that particular report within the SSIC. See appendix C.

(3) Recommended wording for inclusion in local directives requiring information requirements. This will ensure that the purpose of the report, reporting periods, due dates, reporting instructions, required receipt dates of completed reports, and submitters are uniformly presented and understood. See appendix B.

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(4) Use of coded information whenever possible to reduce the bulk of information managed. Use of local office codes or monitored command codes (MCC) can be helpful in briefly identifying submitters and recipients. Also, use of locally generated codes can assist in identifying the status of electronically transmitted reports during conditions of MINIMIZE; i.e., continue to be transmitted during MINIMIZE, delayed until MINIMIZE lifted, transmitted by other means, or discontinued. Use of coded information can also be useful in identifying what reports contain classified information.

5. Program Implementation. Upon publication of the program directive, implementation of the program should include:

a. Collection of data necessary for, and preparation of, the information requirements inventory; which should include at least the originator's RCS, report title, requiring directive, and frequency. See appendix A.

b. Procedures for conducting a technical analysis to ensure that only those reports necessary to effectively and efficiently carryout Marine Corps mission are introduced into the Marine Corps. See appendix B.

c. Review of existing and licensing of new information requirements for duplication, overlap, etc., in content. See appendix C.

6. Program Review

a. Reviews are required to ensure that the objectives of the program continue to be met, and should include considerations of:

(1) The frequency with which reviews are scheduled. At HQMC, this is done on an annual basis.

(2) The updating of estimated annual costs, with emphasis on man-hours expended.

b. The following considerations can be helpful in planning and implementing the review phase of the program:

(1) Use of a standardized report format for reviews, designed so that information requirements sponsors can respond in blank spaces on the format itself. This can minimize the amount of additional administrative burden created by the review. See appendix D.

(2) Conducting periodic reviews at approximately the same time the CMC (ARDB) conducts reviews. Since the HQMC review includes solicitation of information from field commands, this could eliminate the burden of having to respond at different times to both HQMC and local review. See appendix D.

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REPORTS INVENTORY

1. Purpose. The purpose of the reports inventory is to identify and compile a record of existing reports. The inventory will identify reports and provide basic records on which to build an effective program. It facilitates both reports control and reports analysis.

2. Inventory

a. An inventory can be taken by using a standardized form, such as the one shown in figure A-1 to ensure the uniform collection of data. The form should be distributed to all organizational units with an explanation of its purpose and with instructions for its completion and submission.

b. The completed inventory form should be returned to the reports management office along with a copy of the report, the prescribing directive or a reference to the directive, and associated forms.

c. The data collected from the inventory should be used to compile a record of existing reports. Example:

<u>Originator</u>	<u>RCS</u>	<u>Title</u>	<u>Reg Dir</u>	<u>Frequency</u>
ARDB	MC-5214-01	Reports Inventory	MCO 5214.2D	A

3. Review of Organization's Directives. In addition to the inventory, the organization's directives should be reviewed to identify any reporting requirements that may have been overlooked.

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REPORTS INVENTORY	Prepared by	Date
	Name <u>L. GOODWIN</u>	
	Organization <u>HQMC</u>	
	Telephone <u>694-1081</u>	4 Jan 90

## INSTRUCTIONS

Submit an original and one copy for each report required or prepared by your office. All offices complete Section A. Complete Section B if report is required by your office. Complete Section C if report is prepared by your office. Attach sample copy of report and send to agency Reports Management Officer.

## SECTION A - IDENTIFICATION DATA

1. Report Title  REPORTS INVENTORY	2. Report Control Symbol or Number (if any)  MC-5214-04	3. Form No. or Format (e.g. memo, tabulation, narrative, etc.) NAVMC HQ 10458
4. Requiring Directive or Instructions  MCO 5214.2D	5. Frequency (Monthly, quarterly, etc.)  A	6. Due date 31 May 7. Expiration date Jan 93

## SECTION B - REQUIRING OFFICE DATA

1. Purpose and use of report (Identify other reports for which this report is used as a feeder report.)

2. Offices required to submit report	3. Sources of information used by preparing offices to complete report (Form No., report, file, etc.)	4. No. of copies required
Type	Number	5. Distribution
6. Date report originated	7. No. of revisions since origination	8. Date of last revision
9. Estimated cost of developing report	10. Estimated annual cost of using report	

## 11. Current appraisal

		YES	NO			YES	NO			YES	NO		
NEED	a. IS THIS REPORT STILL NEEDED?			DATA	h. IS DATA BEST FOR THE PURPOSE?			IMPROVEMENTS	o. COMBINING WITH OTHERS?				
	b. IS EVERY ITEM STILL NEEDED?				i. IS COMPARATIVE DATA NEEDED?				p. MAKING EASIER TO COMPLETE?				
	c. IS THE REPORT NEEDED AS OFTEN?				j. IS REPORT CLEAR AND EASY TO USE?				q. USING A FORM IF NOT USED?				
	d. IS EVERY COPY STILL NEEDED?				k. ARE THERE WRITTEN INSTRUCTIONS?				r. STOPPING NEGATIVE REPORTS?				
	e. IS THERE ANOTHER SOURCE?				l. ARE THEY CLEAR, CONCISE, COMPLETE, CURRENT?				s. USING SUMMARY?				
VALUE	f. IS IT WORTH ITS PROBABLE COST?			INSTRUCTIONS	m. ARE THEY ISSUED IN A FORMAL DIRECTIVE?			t. USING SAMPLING?			u. REPORTING BY EXCEPTION?		
DATE	g. DOES THE DUE DATE GIVE ENOUGH TIME?				n. ARE ILLUSTRATIONS NEEDED?				v. CHANGING SOURCE?			w. CHANGING SEQUENCE?	

## SECTION C - PREPARING OFFICE DATA

1. Sources of information for completing report	2. No. of copies prepared	3. Distribution (original and copies)
4. Estimated annual cost to prepare report	5. Estimated annual cost for collecting and maintaining information needed for report	

Figure A-1.--Reports Inventory.

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REPORTS ANALYSIS AND DESIGN

1. General

a. Reports must provide a basis for measuring performance, making decisions, creating or revising policy, or carrying out operations, and executing the mission of the organization requiring the report. The analysis and design of a report is a major reports management function. Reports analysis and design should be continuous in nature, because no organization remains static. As an organization changes, its information needs often change and so should the reports and systems that provide the information.

b. Report sponsors should consult with the organization reports manager during formulation of reporting requirements for appropriate guidance.

2. Reports Analysis

a. Detailed Analysis. To facilitate reports analysis, the checklist shown in figure B-1 contains all the significant elements that should be considered in analyzing reports.

(1) The analysis will determine whether the information requested is available from an existing source, if the assigned reporting frequency is reasonable, whether the format to be used is in consonance with the objectives of the MCO 5213.7, Marine Corps Forms Management Program, and if reporting methods and procedures are timely and promote efficient and economic use of resources.

(2) Reports items must be constructed to obtain all information needed concisely, economically, and effectively. Each item must satisfy a current need or known future requirement. The collection of information to meet some possible future need is not justified. Each reported item of information must be used by the recipient of the report. The need for each item can be determined by analyzing the answers to the following questions:

(a) Is the information requested under the cognizance of the requiring office?

(b) Is the information requested necessary for an established objective?

(c) How is the information used?

(d) Is the information capable of misinterpretation? Could it be more simply stated?

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(e) Can the information be used for purposes other than the established objective? Are there other potential users of the information?

(f) Will the requirements for negative reports serve an established objective? Negative responses should not be required unless absolutely necessary.

b. Arrangement of Report Items. Arrange report data items in logical format for easy completion by the preparing organization and for efficient use by the receiving organization. Consider the use of electronic/computer-generated reports by adhering to the guidance contained in MCO 5213.7. The forms manager will assist in developing the most effective forms design.

c. Source of Information for Report Items. Determine the organization which can furnish precise, usable information in the easiest way. Reassignment of responsibility for preparation of reports may avoid the establishment of unnecessary or duplicate source records, unnecessary work flow, or other uneconomical processes.

d. Controlling Copy Distribution. Distribution of completed reports is based on a "need-to-act" or "need-to-know" basis. Distribution of courtesy copies is prohibited.

e. Timing Submissions. Establish minimum burden in timing and frequency of preparation. The following factors must be considered when dealing with timing:

(1) Minimum Frequency. Establish the maximum time possible between submissions.

(2) As Required Reports. Establish these reports with the understanding that information will be available and furnished on request.

(3) Situation Reports. These reports are required on occurrence of an event or situation or change in condition.

(4) Realistic Due Dates. Allow sufficient time for adequate compilation between the end of the period covered and the due date.

(5) Peakloads. Avoid conventional peakloads (last of the month, last of the quarter) by staggering report submission.

(6) Summary Reports. Avoid reports that only summarize previously submitted reports. For example, do not require an annual report that simply summarizes the information provided in prior report submissions.

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f. Estimating Costs. See enclosure (3).

(1) Consider the cost of establishing new reports and in improving existing ones. Compare investment of work-hours and other costs to the value received from the report. Improved operations and effective decision making processes, in some cases, justify costly reports and reporting systems.

(2) Base estimates on the actual situation. Estimate work-hours and machine time for the approximate time spent by organization personnel to prepare and process the report. Obtain dollar costs of any machine time, printing, special equipment, or other materials from the organization completing the report.

### 3. Reports Design

a. Identifying Information Needs. There are two way of approaching this task.

(1) One is to determine the information needs on a command-or activity-wide basis by identifying the needs of each level of organization from the top down. The objective is to develop an overall understanding of the organization's information needs and to construct a set of interrelated systems to meet those needs. In a large organization, this approach is generally not practical because of the time and effort involved.

(2) The other approach is to focus on the requirements of individual managers and develop systems to meet those requirements. Simultaneously, the possibilities for integrating those systems with other organization system are taken into account.

b. Personnel Involved. Identifying information needs require the involvement of persons possessing several different skills, including reports management, form design, functional managers and users, and computer specialists when the report is automated.

(1) The reports manager generally coordinates the collection, analysis, and synthesis of data into specific information requirements for affected organizational units.

(2) Forms designer assists in the development of the reporting format.

(3) Functional managers and users provide first-hand knowledge of the information needs and operations of their programs.

(4) Computer specialists provide the necessary expertise in the formulation of, and possible integration of, automated systems and processes.

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c. Methodology for Identifying Information Needs. A systematic approach should be used to identify information needs.

(1) Listing Program Elements. The term "program" refers to the particular activity for which a manager is responsible at any organizational level. A "program element" is a function or segment of a function. Program elements constitute all the functions of a particular program.

(2) Setting Goals. A goal is a statement of the results expected from a program element during a given period. The statement of expected results should be clear, succinct, and attainable. For example, a program element in a reports management program may be a reports inventory; the goal may be to complete an inventory of all reports by a certain date.

(3) Defining the Output Products. Determine the data elements to be produced and the reporting format, frequency, and distribution.

(4) Specifying the Input. Identify the source and type of input (e.g., manual form, magnetic media), the organizations responsible for preparing and submitting the input information, and the methods of control or verification.

(5) Preparing a General System Flowchart. Chart all office procedures in sequence. The data to be processed, the sources of data, the originating organizations, the means of transmission, the input media, the affected fields, the processing activities (including the equipment to be used), the output media, the output information, and the master system flowchart to indicate a proposed automated system's effect on and relationship to other automated data processing systems.

4. Documentation of Reporting Requirements within a Directive. After it has been determined exactly what the reports management office really needs to know, whether the information can be obtained without undue effort and cost, and that a proposed reporting requirement is fully justifiable, it becomes important to develop a requiring directive and form/format that will contribute to the successful collection of the desired information. The following provides guidance as to items that should be included in the directive:

a. Purpose of Report. The purpose should be clearly stated so that the preparing offices will understand what use is to be made of the data and be able to apply the instructions intelligently. The statement should be explicit.

b. Preparing Activities. Cite by definitive groups, or provide a complete listing of, the activities which are required to comply or submit all or part of the report.

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In a directive where addressees are specified as the preparing activities, a separate listing of reporting activities is not required. Specifically, state the level of command responsible for preparation and submissions of reports when reporting requirements are contained in directives with broad distributions.

c. Recipient. State the correspondence code of the office to receive the report. If report submission is to a non-Marine Corps activity, provide instructions for the submission including detailed identification of the recipient.

d. Frequency. Indicate the frequency of submission; i.e., annually, biannually. In the event the report is to be submitted upon occurrence of an event or situation, indicate the circumstances which require preparation and submission. Provide the report cancellation date. A report will automatically cancel after cancellation date unless continuation of report can be justified.

e. Period Covered. Specify the period to be covered in the report. If data is to be reported on a specific date, provide precise instructions.

f. Due Date. Indicate the date by which the report is to be received at its prescribed destination. Due dates should take into account the distant preparing offices. Generally, the due dates should be stated using the phrase, "by not later than \_\_\_\_\_ workdays after close of the reporting period".

g. Data to be Reported. Provide a complete description of all data elements. Illustrations for compiling and setting down the information should be clear and concise.

h. Report Form or Format

(1) Describe or illustrate the form or format for reporting. When a form is to be used, cite the form number, source of supply, and stock number. Whenever possible, consideration should be given to converting manual report submission to the use of a computer-generated or electronic form; this lessens the reporting burden on the submitter.

(2) State the required number of copies.

(3) Cite the RCS clearly and visibly on the form or format.

i. RCS and Title. Cite the RCS and title as prescribed in MCO P5215.1, the Marine Corps Directives System.

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REPORTS EVALUATION CHECKLIST		REVIEW DATE	
REPORT TITLE			
REPORTS INVENTORY			
SECTION 1 - DETERMINE THE NEED			
INSTRUCTIONS: Check either column (b) or (c) If questionable, show changes in column (d) (a)	QUESTION- ABLE (b)	SATISFAC- TORY (c)	PROPOSED CHANGES (Attach Additional Sheets, if Needed) (d)
1. THE REPORT AS A WHOLE Who uses it? How? What is its purpose? Should it be continued?		✓	
2. USE OF EACH ITEM Is every item used? Any missing items to be added?		✓	
3. USE OF EACH COPY Are all copies used to good advantage?		✓	
4. FUNCTIONAL RELATIONSHIP Is the information within the scope of the office functions?		✓	
5. MISAPPLICATION Does the report try to solve a problem which should be solved by other means?		✓	
6. STAND-BY DATA Is the data obtained for "just-in-case" use?		✓	
7. ANOTHER AVAILABLE SOURCE Is the data available in another report or office?		✓	
8. BY PRODUCT Is it possible to get the data by some other process?		✓	
9. DIRECT USE OF RECORDS Could actual records or "last copy" of record be used instead of a report?		✓	
10. SAMPLING Would a sampling of a few offices give reliable data?		✓	
11. EXCEPTION REPORTING Would it be appropriate to report conditions only when other than normal?		✓	
12. COMBINATION Could this report be combined with another report?		✓	
13. NON-RELATED MATERIAL Are non-related subjects included in the same report?		✓	
14. ADEQUACY AND SUITABILITY Is scope or content tailored to meet needs?		✓	
15. VALUE VS. COST Is the report worth its cost?		✓	
SECTION 2 - VERIFY THE TIMING			
16. REPORTING PERIODS Are reporting periods properly stated?	✓		Show the months to be covered.
17. FREQUENCY Is the present frequency suitable, excessive, or inadequate?		✓	
18. DUE DATE Is the due date specifically stated?		✓	
19. PREPARING OFFICE WORKLOAD Has this been considered? Can due dates be changed to avoid peak workloads?		✓	

Figure B-1.--Reports Evaluation Checklist.

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REPORTS EVALUATION CHECKLIST (Page 2)		4 Jan 90		REVIEW DATE
REPORT TITLE REPORTS INVENTORY				
SECTION 3 - REVIEW STYLE OF PRESENTATION				
INSTRUCTIONS: Check either column (b) or (c) If questionable, show changes in column (d) (a)	QUESTION- ABLE (b)	SATISFAC- TORY (c)	PROPOSED CHANGES (Attach Additional Sheets, if Needed) (d)	
20. REPORT TITLE. Is it the same as, or listed in the directive?		✓		
21. PURPOSE OF REPORT. Is it clearly stated?		✓		
22. REPORTING INSTRUCTIONS. Are reporting instructions clear and adequate?		✓		
23. INTEGRATED REPORTING. Are data needs of other levels included?		✓		
24. FEEDER REPORTS. Are procedures for feeder reports provided to assure uniformity and simplicity?		✓		
25. REPORTING UNITS. Are reporting units shown? Are there too many, too few?		✓		
26. NEGATIVE REPORTS. Are negative reports required? What use is made of them?	✓		Delete Bgmt to submit.	
27. NUMBER OF COPIES. Are number of copies specified?		✓		
28. ROUTING. Are correct mailing addresses given?		✓		
29. NARRATIVE OR FORM. Is the best format for this report used?		✓		
30. ARRANGEMENT AND SIZE. Are items sequenced according to user need? Is spacing adequate? Are item captions clear? Is size adequate and practical?		✓		
31. STANDARDIZATION. Do all offices use the same forms or format?		✓		
32. SUMMARY INFORMATION. Would a summary of information rather than statistics or a narrative be better?		✓		
33. CUMULATIVE DATA. Can data be maintained on a cumulative basis to eliminate last-minute workloads?		✓		
34. COMPARISONS. Are comparisons made against goals, past performance, or current performance of others?		✓		
35. GRAPHICS. Are graphics used to good advantage?		✓		
36. AUTHENTICATION. Are verifying or approving officials' signatures used only when necessary?		✓		
37. DATA SOURCES. Are records from which reports are to be prepared identified?		✓		
38. ARRANGEMENT OF RECORDS. Should records be rearranged to simplify reporting?				
39. REPORT SYMBOL. Is it shown after title of report?	✓		Show PCS MC-521401 on the form.	
40. STYLE OF PRESENTATION. Does the overall report provide clarity and simplicity?		✓		

Figure B-1.--Reports Evaluation Checklist--Continued.

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REPORTS CONTROL

1. General. Reports control provides the necessary procedures to review, develop, revise, and cancel information reporting requirements. Procedures consist of the preparation of a reports approval request, the review and approval or disapproval of the report by the reports manager, the assignment of an RCS to approved report, and the compilation and maintenance of reports records.

2. Reports Approval Request

a. To permit a thorough evaluation of the purpose, need, and content of an information reporting requirement, and to provide the data needed to facilitate reports control, certain basic information must be provided to the reports manager. The report sponsor shall provide this information on a reports approval request, such as the one illustrated in figure C-1. Associated documents, such as the requiring directive, additional forms, and a copy of the proposed report, should accompany the request.

b. The reports manager shall provide assistance to the report sponsor when requested. This assistance is most effective when provided during the initial establishment of the reporting requirement.

c. Reports shall only be approved when they comply with the procedures contained in this Order.

3. Coordination of Information Requirements. Report sponsor shall provide for coordination of the proposed report (directive containing the reporting requirement), with organizational units having an interest in the information being requested and with those that will be required to respond. Through coordination, it may be possible to eliminate or minimize the reporting burden.

4. Reports Review. After appropriate coordination, the proposed information reporting requirement will be reviewed by the reports manager for proper justification, potential duplication, and cost effectiveness. The reports manager will use the following criteria when reviewing the proposed reporting requirement:

a. A valid need exists for the information required by the proposed report.

b. The information requested is limited to data elements needed to satisfy the reports purpose.

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c. The reporting frequency is consistent with the time by which the information is needed.

d. Clear and complete instructions for reporting have been developed and are contained in the implementing directive.

e. The proposed report has been coordinated with other interested organizational units.

f. The complete cost of the reporting system is provided.

5. Reports Approval. The reports manager analyzes the proposed information reporting requirement for conformance with reporting standards. The reports manager comments as appropriate and notifies the report sponsor of action to be taken. The report sponsor takes action as appropriate to incorporate recommendations in the implementing directive. The reports manager will enter pertinent data on controlled reports into the authorized reports control inventory system. Proposed reports will be identified as either "controlled" or "exempt".

6. RCS. Assignment of an RCS by the reports manager in indicates that the analysis has been accomplished, the requirement valid, and the respondents have responsibility for providing the requested information.

a. The RCS is a three-part alphanumeric code which indicates the requiring organization, the applicable SSIC as prescribed in SECNAVINST 5210.11, and the sequence number of that particular report within the SSIC. As an example of an RCS, MC-5214-04 has Marine Corps as the requiring organization, 5214 as the applicable SSIC, and 04 as the fourth report in the 5214 series.

b. Reporting requirements implemented by Marine Corps directives (levied by HQMC, MCCDC, or MCRDAC) will contain "MC" to indicate the requiring organization. If a reporting requirement is imposed by higher authority, the RCS will reflect the appropriate requiring agency. For example, if the Department of Defense imposed a reporting requirement, the RCS would contain "D." Requiring agency prefixes are:

CB	Bureau of Census
CO	Congress of the United States
OP	Office of Personnel Management
DD	Department of Defense
DN	Department of Navy
FB	Federal Bureau of Investigation
GS	General Services Administration
JU	Department of Justice

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LA Department of Labor  
MC Marine Corps  
TR Department of Treasury  
OM Office of Management and Budget

c. Controlled reports will be assigned an RCS and will be reviewed on an annual basis to ensure continued validity.

d. Exempt reports will be assigned the RCS "EXEMPT" and will not require future monitoring or review by the reports manager. The report sponsor is responsible for maintaining and validating the requirement for an exempt report. The following is a guide to the types of information that fulfills the requirement of a "report" as contained in this Order, but which are exempt from reports control:

(1) Operating documents processed within an operational system; i.e., requisitions, material release orders, supply status notices, back order release notices, application forms, bills of lading, personnel actions, payrolls and timesheets, and reports of inspections.

(2) Orders or authorizations; i.e., permanent change of station or temporary duty.

(3) Reports of findings, recommendations, or actions prepared by an official committee, board, survey team, study group, or task force.

(4) Comments or concurrences which are a part of the routine clearance of proposed actions or publications; recommendations or evaluations as to existing or proposed plans, policies, procedures, organizations, missions, publications, agenda, or courses of action.

(5) Public information release.

(6) Fiscal or disbursing source documents and output accounting system reports shall be an integral part of the accounting system and need not be individually justified or assigned RCS's.

(7) Reports of audit, internal review, investigation of charges, a complaint, a claim or a violation of law or regulation. The following types of reports are not exempt under this paragraph:

(a) Information required to prepare the final published audit report.

(b) Reports of internal reviews when the review is imposed by a higher-echelon command.

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(8) Reports of personnel matters such as savings bond participation, conflict of interest statements, financial statements, nominations or recommendations for awards, and medical and dental documents.

(9) Counterintelligence, personnel security, and other investigative surveys and reports as covered by SECNAVINST 3820.2.

(10) Routine requests for cost estimates related to a specific information request.

(11) Substantive intelligence reporting.

(12) Compromises of classified information.

(13) Communications actions on declaration of war.

(14) Establishment or cancellation of MINIMIZE.

(15) Reports of events or special incidents which may attract national and/or high U.S. Marine Corps interest.

(16) Information concerning imminent danger to life, health, or property arising from dangerous or defective material.

(17) Issuances establishing defense conditions or alerts of a service-wide nature.

7. Reports Records. Reports records consist of files and catalogs needed for reports control and analysis.

a. Reports Case Files. The reports case files should contain complete historical data on each report. Case files contain the original documents relating to individual reports. Files that are used for analysis and for producing catalogs and management reports may be automated. A case file should be established for each report when it is begun and for existing reports identified in an inventory. Case files may be arranged sequentially by the RCS or alphabetically by the report title. A case file should contain:

(1) The original reports request approval form or an inventory form.

(2) Associated forms and instructions for completion.

(3) Correspondence, worksheets, and other documents relating to the report.

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(4) A reference to, or a copy of, the implementing directive.

b. Reports Analysis Files

(1) In organizations where reports analysis is a manual operation, it is useful to establish subject classification files. These files can be used for comparing reports on the same subject or functional area, for identifying duplicative reporting requirements, and for eliminating unnecessary reports. Subject classification files assist analysts in understanding relationships between reports and reporting systems and in streamlining systems and procedures.

(2) The files contain reports request approval forms or inventory forms and are organized by broad functional categories (personnel, budget, engineering).

c. Automated Systems

(1) Where organizations have established automated systems, only reports case files may be needed for backup and historical purposes. Automated systems can generally perform many reports management tasks. They can detect duplication of reports, identify reports needing revalidation, store and update the reports inventory, produce management reports, and produce reports catalogs.

(2) Depending on the design of a particular system, the reports information may be integrated with an organization-wide database or with related subject areas, such as forms files.

d. Reports Catalogs

(1) A reports catalog is a listing of all reports required by or imposed on an organization. An up-to-date catalog should be prepared periodically and distributed to all units.

(2) The following list indicates the information that may appear in a reports catalog:

- (a) RCS.
- (b) Report title.
- (c) Associated form numbers.
- (d) Frequency.

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(e) Requiring law, regulation, or directive.

(f) Requiring organization.

(g) Cost.

8. Reports Cancellation. A reporting requirement may no longer be valid either by supersession of the requiring directive or by cancellation of the report itself. The steps involved in canceling a report are as follows:

a. Report sponsor recognizes that report is no longer needed. Notifies the reports manager of cancellation. Promulgates change transmittal to the requiring directive announcing cancellation of reporting requirement.

b. Reports manager enters appropriate cancellation data in reports inventory and removes subject report.

c. Respondents cease submitting the report.

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1. SUBMIT TO		2. REPORT (Check applicable boxes)	
A. CENTRAL OFFICE (ORCP)	B. REGION (Specify)	A. TYPE	B. ACTION
	HOMC	<input type="checkbox"/> INTERAGENCY	<input type="checkbox"/> NEW
	BRA	<input checked="" type="checkbox"/> INTERNAL	<input type="checkbox"/> CANCEL
		<input checked="" type="checkbox"/> REVISE	<input type="checkbox"/> EXEMPT
		<input type="checkbox"/> CONTINUE	

INSTRUCTIONS: Complete and submit an original and two copies of this form to request the clearance and evaluation of all new or revised interagency or internal reporting requirements that are subject to the GSA Reports Management Program (Refer to OAD P1872.2B). Attach a supporting statement that fully justifies the need for the requested information, a listing of responding agencies for an interagency report or a listing of responding services and staff offices for internal reports. Copies of worksheets used in costing the report, a sample of the report form or format, copies of the prescribing directive or instructions that would be available to respondents, and copies of the cost/benefit evaluations as shown in apps. 4 B thru 4 F of OAD P1872.2B. THIS FORM WILL BE USED FOR THE ANNUAL REVIEW OF REPORTS.

3. OFFICE SYMBOL OF THE ORIGINATOR/USER	4A. PERSON TO BE CONTACTED FOR INFORMATION	4B. CORRESPONDENCE SYMBOL	4C. TELEPHONE NO.
ARDB	MRS. L. GOODWIN	5214	694-1081
5A. TITLE OF REPORT		5B. CURRENT APPROVAL NO.	
REPORTS INVENTORY			

6. FREQUENCY OF SUBMISSION OF REPORT (Check)				OTHER (Specify)	
<input checked="" type="checkbox"/> ANNUALLY	<input type="checkbox"/> QUARTERLY	<input type="checkbox"/> WEEKLY	<input type="checkbox"/> ON OCCASION		
<input type="checkbox"/> SEMIANNUALLY	<input type="checkbox"/> MONTHLY	<input type="checkbox"/> DAILY	<input type="checkbox"/> CONTINGENT		

7. LIST CANCELED OR MODIFIED REPORTS OF FORMS	
A. TITLE	B. REPORT APPROVAL NO.

8. SUMMARY OF ESTIMATED REPORTING WORKLOAD	
A. NUMBER OF RESPONDENTS (Agencies for interagency/Offices for internal)	
B. NUMBER OF TIMES THIS REPORT SUBMITTED ANNUALLY BY EACH RESPONDENT	
C. TOTAL NUMBER OF REPORTS SUBMITTED ANNUALLY (A x B)	

9. SUMMARY OF ESTIMATED REPORTING COSTS (Attach worksheets used in costing report)			
DESCRIPTION (a)	DEVELOPMENTAL COSTS (b)	ANNUAL OPERATIONAL COSTS (c)	ANNUAL USER (d)
A. REQUIRING OFFICE	\$		\$
B. RESPONDING AGENCIES/OFFICES	\$	\$	
C. TOTALS	\$	\$	\$

10. NAME AND TITLE OF REQUESTING OFFICE APPROVING OFFICIAL			
11A. SIGNATURE OF APPROVING OFFICIAL	11B. DATE	12A. SIGNATURE OF REPORTS CONTROL OFFICER	12B. DATE

BELOW FOR USE OF CLEARANCE AND EVALUATION OFFICE

13. CLEARANCE AND EVALUATION RESULTS	
<input checked="" type="checkbox"/> APPROVED (See below)	<input type="checkbox"/> RECOMMEND DISAPPROVAL (See attached)
<input type="checkbox"/> EXEMPTED (See attached)	<input type="checkbox"/> EXEMPTED (See attached)
14. ASSIGNED REPORT TITLE	
REPORTS INVENTORY	
15. REPORT APPROVAL NO.	
DN-5214-01	
16. EXPIRATION OF APPROVAL (Date)	
APR 1993	
17A. SIGNATURE OF APPROVING OFFICIAL	

Figure C-1.--Reports Approval Request.

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REPORTS VALIDATION

1. Purpose. The purpose of the reports validation is to reduce the administrative burden on respondents by eliminating, reducing the frequency of, or consolidating reporting requirements, where practicable. Reports managers shall establish a period every year to conduct a review of all existing reports.

2. Annual Review Procedures

a. The reports manager will initiate the annual reporting requirements review process. The reports manager will provide a listing of reports that each report sponsor is currently responsible for.

b. Report sponsor will review the reporting requirements contained in the listing provided. The review will validate the need for each reporting requirement and emphasize reducing the administrative burden. The report sponsor will annotate the listing accordingly. The report sponsor must issue a change to the implementing report directive for each reporting requirement that was canceled or revised.

c. The reports manager will review the results of the report sponsor review.

(1) If the requirement remain valid, no action is required.

(2) If the requirement is canceled, the procedures for cancellation contained in appendix C to enclosure (2), paragraph 8 will apply.

(3) Pertinent data relating to changes will be entered into the reports inventory.

(4) The report sponsor's validation will be maintained in the applicable reports case file.

d. Recurring Reporting Requirements Checklist. Upon completion of the review, the reports manager will publish a checklist of all valid and canceled recurring reporting requirements since the last published checklist.

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PUBLIC AND INTERAGENCY REPORTING1. Public Reports

a. Purpose. The Paperwork Reduction Act of 1980 and its implementing regulation, 5 CFR 1320, cover the policy for collecting information from the public and have as their stated purpose:

(1) To minimize the Federal paperwork burden on the public and the cost to the Federal Government of collecting, maintaining, using, and disseminating information.

(2) To maximize the usefulness of the information.

(3) To coordinate Federal information policies and practices.

b. Coverage. OMB approval is needed to collect information from 10 or more members of the public, unless the collection is exempt (see par. 1c for exempt authority). Members of the public are individuals, partnerships, associations, corporations, business trust, legal representatives, organized groups of individuals, states, territories, or local governments. Current employees of the Federal Government are not members of the public for purposes of the collection of information. Military reservists and members of the National Guard are considered Federal employees when on active duty. Retired and other former Federal employees are members of the public, except to conduct surveys of family members of the Marine Corps and retired members to determine the effectiveness of existing Federal programs. The DoD and the Marine Corps do a great deal of business with contractors; for report purposes, they are members of the public.

c. Exemptions. The following types of information collections from the public are exempt from OMB review:

(1) Affidavits, oaths, affirmations, certification, receipts, changes of address, consents, or acknowledgements, provided that they entail no burden other than that necessary to identify the respondent, the date, the respondent's address, and the nature of the instrument.

(2) Samples of products or of any other physical objects.

(3) Facts or opinions obtained through direct observation by an employee or agent of the sponsoring agency or through nonstandardized oral communication in connection with such direct observations.

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(4) Facts or opinions submitted in response to general solicitations of comments from the public, published in the Federal Register or other publications, provided that no person is required to supply specific information pertaining to the comment, other than that necessary for self-identification, as a condition to the agency's full consideration of the comment.

(5) Facts or opinions, obtained initially or in follow-up requests, from individuals (including individuals in control groups) under treatment or clinical examination in connection with research on, or prophylaxis to prevent, a clinical disorder; direct treatment of that disorder, or the interpretation of biological analyses of body fluids, tissues, or other specimens; or the identification of such specimens.

(6) A request for facts or opinions addressed to a single person.

(7) Examination designed to test aptitude, abilities, or knowledge of the persons tested and the collection of information for identification or classification in connection with such examinations.

(8) Facts or opinions obtained or solicited at or in connection with public hearing or meetings.

(9) Facts or opinions obtained or solicited through nonstandardized follow-up questions designed to clarify responses to approved collection of information.

(10) Like items so designated by OMB.

(11) Collections of information from Federal employees within the scope of their employment, unless the results are to be used for general statistical purposes.

(12) Information collected from fewer than 10 persons.

(13) Public information collections needed during the conduct of a Federal criminal investigation or prosecution, during the disposition of a particular criminal matter, during the conduct of a civil action to which the United States or any official or agency thereof is a party, or during the conduct of an administrative action or investigation involving an agency against specific individuals or entities.

(14) Collection of information sponsored by a Federal agency, that are also sponsored by a unit of State or local government, if the agency shows that such State or local requirement would be imposed even in the absence of a Federal requirement.

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d. Procedures. Each request to collect information from 10 or more members of the public must be approved by OMB. To obtain this approval, the report sponsor must include the report in the Information Collection Budget (ICB) submitted to OMB annually. The ICB consists of all existing and new public reports (both recurring and one time) that might be established during the year.

(1) ICB Overview. The ICB is annual allowance for each Federal agency of the total number of burden hours it may require from the public to provide it with information. It is an estimate of the time, direct and indirect, necessary for individuals, businesses, and organizations to collect, record, and submit information to the Federal Government. Federal agencies prepare ICB requests annually in response to specific direction contained in an OMB bulletin. These requests contain estimated burden hours for the information collection activities which the agencies want to conduct. Justifications are provided for collections of information. OMB authorizes a final allowance, which is the maximum number of burden hours that the agency may impose on the public for continuing and new burden items in the next fiscal year.

(2) Approval. The approval of an information collection from public sector initially involves the preparation of a Standard Form (SF) 83, "Request for OMB Review", package. The CMC (ARDB), Marine Corps Reports Manager, is responsible for coordinating the ICB process. It is next sent to the Navy Records Management Office (NRMO) for submission as a consolidated Department of Navy ICB to the Office of the Secretary of Defense (Comptroller). The final step is to OMB for approval. If the report is approved, an RCS expiration date will be assigned by OMB. During this time, the proposed information collection is announced in the Federal Register for public comment and OMB keeps the ICB request open for public access and review for a period of 60 days.

(3) Clearance. The clearance request is prepared by the report sponsor with assistance from the CMC (ARDB). A clearance request has two parts.

(a) SF-83. This is the official application which Marine Corps submits to OMB for clearance for a planned information collection activity. It contains the data elements that OMB needs to evaluate the request.

(b) Supporting Statement. This is the Marine Corps statutory, regulatory, and programmatic justification for the information collection activity.

(4) Basic Steps in the Process

(a) Prepare the SF-83 request.

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(b) Clear with the Marine Corps reports management office (CMC (ARDB)).

(c) The CMC (ARDB), Marine Corps Reports Manager, reviews and forwards SF-83 package to NRMO.

(d) NRMO forwards to the DoD Comptroller.

(e) The Comptroller reviews and forwards to OMB.

(f) Federal Register notice is published.

(g) OMB approves or disapproves.

(h) The DoD Comptroller and NRMO receive OMB Notification.

(i) NRMO distributes OMB Notification to the CMC (ARDB).

(j) The CMC (ARDB), Marine Corps Reports Manager, distributes OMB notification to the report sponsor. If the report is disapproved, the information may not be collected.

2. Interagency Reports. An interagency information reporting requirement is data or information which is transmitted between or among Federal agencies for use in determining policy; planning, controlling, and evaluating operations and performance; making administrative determinations; or preparing other reports. The data or information may be narrative, statistical, graphic, or other form and may be displayed on paper, magnetic tape/disk, or other media.

a. Scope. Interagency reports are reviewed and cleared by GSA and are subject to the provisions of FIRMR 201.45-6. Interagency reports which are also public reports require OMB approval.

b. Exemptions

(1) Interagency reporting requirements for security classified information are exempt. However, interagency reporting requirements for unclassified information are not exempt, even if such information is later given a security classification by the requesting agency.

(2) Operating documents exchange between and among Federal agencies.

(3) Presidential requirements in Presidential directives.

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(4) OMB budgetary, program review and coordination, and legislative clearance requirements.

c. Procedures

(1) For new, revised, or extended interagency reports, submit an original and five copies of the following items to the Marine Corps Reports Manager (CMC (ARDB)):

(a) Completed SF 360, Request for Clearance of an Interagency Reporting Requirement.

(b) Completed Optional Form 101, Summary Worksheet for Estimating Reporting Costs.

(c) The reporting requirement and any instructions pertaining to it.

(d) Any form or reporting format.

(2) If the Marine Corps Reports Manager concurs with the report, the items listed above will be forwarded to NRMO. After review, the information will be forwarded to the Comptroller, then to GSA for final action and, if approved, the assignment of an RCS.

(3) After final action by GSA, the SF 360 is returned through the chain of command to the Marine Corps Reports Manager. An approved report will contain the RCS and an expiration date. If the report is disapproved, the information may not be collected.

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GUIDE TO ESTIMATING REPORTING COSTS

1. Introduction

a. The Paperwork Reduction Act of 1980 contains a provision that in the development of a reporting requirement, estimates of reporting costs must be considered and developed. It is the purpose of this guide to assure that adequate cost estimates are developed. The degree of accuracy sought in a given cost estimate may vary with the general magnitude of the reporting requirement.

b. Management needs cost estimate information to decide if the expected value of a reporting requirement is worth the cost of collecting the information. The costing methods provided in this enclosure should be used to compute the cost for the preparation, use, and storage of information reporting requirements. The reports manager shall maintain the supporting documentation and cost estimating worksheets for all recurring reporting requirements. Cost information shall be updated annually or whenever a major change in the reporting requirement occurs.

2. Reports Cost Categories. There are three categories of activities associated with costing any report: developmental, operational, and user. Definitions for each of these categories are provided below as are lists of specific activities and tasks that each category encompasses. The lists are provided primarily as a guide in categorizing various reporting activities and are not meant to be all inclusive. Depending on the actual situation, all the activities and tasks shown may not apply in every instance, and in some cases additional ones may need to be included.

a. Developmental Activities. The developmental category consists of activities involving the establishment of a new report or the modification of an existing one. Developmental activities include:

(1) Specification of the reporting requirement (i.e., those tasks associated with studying the problem and planning for its resolution). Specific tasks may include:

- (a) Identifying the need for certain information.
- (b) Determining the objectives and scope of the reporting system which could provide the needed information.
- (c) Identifying the benefits of such a system.
- (d) Appraising the impact on existing and planned systems.

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(2) Analysis of the Reporting Requirement. This includes the activities involved in determining the specific information items needed and how best to obtain them. Specific tasks may include:

(a) Discussing and determining which specific data should be provided.

(b) Identifying alternative methods for obtaining the data.

(c) Identifying data sources, processing requirements, and equipment.

(d) Describing inputs, reports, major functions, and limitations of each alternative.

(e) Selecting the best alternative for providing the needed information.

(3) Design of the Reporting System. This consists of activities involved in the development and documentation of the selected system. Specific tasks may include:

(a) Developing system description (specifications), including input and output documents, data collection procedures, data and document processing, files contents, interfaces with other systems, and output distribution.

(b) For automated systems, in addition to the above, developing technical system specifications (all the information needed by a programmer) and writing the computer program(s).

(4) Installation of the Reporting System. This consists of the activities involved in converting the written plan to an operational reporting system. Specific tasks may include:

(a) Testing the new system procedures.

(b) Debugging computer programs.

(c) Acquiring and installing new equipment or modifying existing equipment.

(d) Developing and issuing implementing directive.

(e) Converting existing methods and procedures to the new system.

(f) Scheduling and conducting orientation and training.

(g) Preparing the site for automated systems.

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b. Operational Activities. These include the continuing activities involved in data collection, processing, and transmission.

(1) Data collection consists of tasks involved in recording data at the source and making the data available for use, including:

- (a) Obtaining, assembling, and recording source data by the preparing units.
- (b) Controlling the accuracy of the source data.
- (c) Forwarding source data to the processing unit.
- (d) Storing source data for future reference.

(2) Data processing is the manipulation of data into the desired structure or format, including:

- (a) Receiving and controlling source data documents at the processing unit.
- (b) Preparing data for data entry--logging and batching input forms, transcribing data, manually editing data, correcting errors.
- (c) Translating data to machine-readable form.
- (d) Resolving data errors and obtaining missing data.
- (e) Updating files and databases.
- (f) Extracting and compiling data for the desired report format or medium.
- (g) Performing system maintenance tasks--updating and upgrading system software.

(3) Data transmission consists of the activities involved in the delivery of system outputs to the user, including:

- (a) Reproducing report copies.
- (b) Bursting multiple copies.
- (c) Delivering reports.

c. User Activities. These consist of activities performed on the reported information by the office which imposes the information requirement. Specific tasks may include:

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(1) Interpreting and analyzing the reported information.

(2) Reading, reviewing, and discussing the reported information.

(3) Using the information for the purpose for which it was intended.

### 3. Basic Reports Costing Requirements

#### a. Costs to Include in Reporting Cost Estimates.

Estimates of reporting costs should include the resources expended on each of the three basic reporting categories--developmental, operational, and user, and their associated tasks--in the development of a reporting system. For each of these three categories, the following types of resources and their costs should be included:

#### (1) Direct Personnel Costs

(a) Direct personnel costs consist of direct labor and fringe benefits costs. The direct labor cost is that portion of employee salaries that is charged to a reporting activity. The fringe benefits cost consists of allowances and services provided to Federal employees in addition to employee salaries. It is expressed as a percentage of the salary cost. MCBul 5214 series, Information Requirements Management in the Marine Corps, provides the total (direct labor and fringe benefits) hourly rates to be used in computing personnel costs.

(b) Compiling the Personnel Costs. To determine the personnel costs for a reporting activity, two items of information are needed: (1) the amount of time it takes to perform the activity, and (2) the rate of pay of personnel performing the activity. The amount of time required for an activity can be expressed in either work hours or work years. When determining the personnel costs, the actual salary rates should be used for existing positions.

(2) Overhead Costs. Overhead costs are costs incurred by an organization in the support of its assigned mission. These costs are called overhead or indirect cost because they apply to activities which benefit the organization as a whole, rather than any one particular function or activity. Marine Corps has developed a standard overhead rate of 25%. Included in overhead costs are the following cost categories:

(a) Supervisory personnel, salaries, and fringe benefits.

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(b) Clerical and technical personnel, salaries, and fringe benefits.

(c) Supplies and common distribution items such as telephones.

(d) Space and utilities (Standard Level User Charges).

The following example shows procedures for determining personnel costs when the amount of time spent on an activity and the grades of personnel performing the activity are known. The example is for operational activity costs. Development and user costs should be obtained using the same procedure.

#### OPERATIONAL COSTS

<u>Grade/ Rank</u>	<u>Hours Spent</u>	<u>x Hourly Rate</u>	<u>=Personnel Cost</u>	<u>+25% Overhead</u>	<u>=Total Cost by Grade/Rank</u>
GS-9	52	\$15.23	\$751.96	\$188.00	\$940.00

(3) Direct Equipment, Materials, and Supplies Costs. Direct equipment, materials, and supplies costs are those costs that are directly expended on a reporting system or activity. Examples of the types of equipment that may be included are computers, word processors, printers, microfilm readers, copiers, and calculators. Examples of the types of materials and supplies are magnetic tape/disks, paper, microfilm, lubricants, toners, etc. In cases where the equipment is used for both reporting and other purposes, the cost should be prorated so that only the share used specifically for reporting is included in the cost. The equipment cost should include the acquisition cost and the transportation and installation costs. The cost of the equipment should be amortized over a period of 3, 5, or 10 years, depending on the useful life of the equipment. The annual equipment maintenance charges should also be included. The following example shows the procedure for determining equipment cost:

<u>Equip Item</u>	<u>Equip Cost</u>	<u>Amortized Cost</u>	<u>% of Time Used for Reporting x Purposes</u>	<u>Annual Direct Equip Cost (Maint. not included)</u>
Mini Computer	\$25,000	\$5,000 (\$25,000 divided by 5)	95%	\$4,750.00

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(4) Other Direct Costs. Costs other than personnel, equipment, materials, and supplies that can be directly attributed to a reporting activity fall into this category. In most instances, they consist of purchased services and operations or those activities for which fees are charged, such as ADP center charges and printing center charges. An examples of this type of charge is the charge-back user fee that a computer center may impose on actual connect time with a computer by an office using a CRT to obtain information from the computer database.

4. Independent Reports. If a reporting system uses a feeder report as input, and if the feeder report is an independent report which would continue if the reporting system being estimated did not exist, the cost of the feeder report should be excluded from the estimated costs of the reporting system. However, if the feeder report is modified to serve as input to the reporting system, then the development and operational costs resulting from the modification of the feeder report should be included in the estimated cost of the system. The latter situation can arise, for example, in the case of an interagency reporting requirement. The responding agency may need to make major or minor modifications to an existing report or reporting system in order to prepare and submit the required interagency report. Only include the additional reporting estimated costs of the interagency report.

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